

27123

CUSTOMER NUMBER

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : BRODERICK, Patricia A. Confirmation No. : 8835
Serial No : 10/580,884 Examiner : TBA
Filing Date : May 26, 2006 Group Art Unit : 1617
For : CLOZAPINE AND COCAINE EFFECTS ON DOPAMINE AND
SEROTONIN RELEASE IN NUCLEUS ACCUMBENS DURING PSYCHOSTIMULANT
BEHAVIOR AND WITHDRAWAL

Attention: REFUND
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

REQUEST FOR REFUND PURSUANT TO 37 CFR §1.26

Sir:

A U.S. national stage application under 35 USC § 371 and the filing fees pursuant to 37 C.F.R. §1.445 were filed by Express Mail on May 26, 2006. A copy of the Return Receipt Postcard, indicating the application serial number (USSN 10/580,884) and filing date is attached as **Exhibit 1**.

When the U.S. national stage was entered, the applicant inadvertently claimed Large entity status instead of SMALL entity status. Applicant states that is was a SMALL entity at the time the U.S. national stage application was filed, and further states that applicant continues to maintain a SMALL entity status. The total national fee paid for this application was **\$850.00**. The fee should have been reduced by one half to **\$425.00**. A copy of the Transmittal Letter is attached as **Exhibit 2**.

This REQUEST FOR REFUND is made within two years from the date the fee was inadvertently paid at the large entity rate, *i.e.*, May 26, 2006.

The payment for entering the U.S. National Stage of PCT/US2004/40756 has already been secured for filing the above-identified application.

The difference between the secured amount of **\$850.00** and the amount due for SMALL ENTITY **\$425.00** is **\$425.00**. Please credit the requested amount of **\$425.00** to Deposit Account No. 13-4500, Order No. 4742-4001US1.

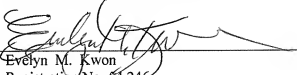
AUTHORIZATION

Applicants believe that no additional fees are necessary, however, should any such fees be due, the Commissioner is hereby authorized to charge any additional fees which may be required for this Request, or credit any overpayment, to Deposit Account No. 13-4500, Order No. 4742-4001US1.

Respectfully submitted,
MORGAN & FINNEGAN, L.L.P.

Dated: May 4, 2007

By:


Evelyn M. Kwon

Registration No. 54,246

Correspondence Address:

MORGAN & FINNEGAN, L.L.P.
3 World Financial Center
New York, NY 10281-2101
(212) 415-8700 Telephone
(212) 415-8701 Facsimile

Case No. 4742-4001US1

Serial No.

TBA

10/580884

Date Mailed May 26, 2006

ATTY

ENK/JEF

Date Due in the Patent Office

IAP 15 Rec'd PCT/PTO 26 MAY 2006

The return of this post card, properly stamped, will
acknowledge receipt in the Patent & Trademark Office
of the Following:

1. Transmittal letter to the US Designated Elected Office
Concerning Filing Under 35 USC 371 (2 pps);
2. Published International Application with International
Search Report (Parts 1/2 and 2/2);
3. Form PCT/IB/308 (First Notice) (1 pp);
4. Form PCT/IB/308 (Second and Supplementary Notice)
(1 pp);
5. Form PCT/IB/304 (1 pp);
6. Form PCT/IB/301 (3 pps);
7. Express Mail Certificate EV 826870788 US; and
8. Return Receipt Postcard.

4742-4001US1

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (if known, see 37 CFR 1.51)

TBA

INTERNATIONAL APPLICATION
PCT/US2004/040756

INTERNATIONAL FILING DATE
06 December 2004

PRIORITY DATE CLAIMED
04 December 2003

TITLE OF INVENTION
CLOZAPINE AND COCAINE EFFECTS ON DOPAMINE AND SEROTONIN RELEASE IN NUCLEUS
ACCUMBENS DURING PSYCHOSTIMULANT BEHAVIOR AND WITHDRAWAL

APPLICANT(S) FOR DO/EO/US
BRODERICK, Patricia A.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)).
4. ☒ The US has been elected. (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 20. below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 C.F.R. 1.821-1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: Form PCT/IB/308 (First Notice); Form PCT/IB/308 (Second and Supplementary Notice); Form PCT/IB/304; Form PCT/IB/301; and Return Receipt Postcard.

TBA

PCT/US2004/040756

4742-4001US1

CALCULATIONS

PTO USE ONLY

The following fees have been submitted

21. ☒ Basic national fee\$300
22. ☒ Examination fee
If International preliminary examination report prepared by USPTO and all
claims satisfy provisions of PCT Article 33(1)-(4)\$100
All other situations\$200
23. ☒ Search fee
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to
the USPTO as an International Searching Authority\$100
International Search Report prepared and provided to the Office\$400
All other situations\$500

\$300.00

\$200.00

\$100.00

TOTAL OF 21, 22 and 23 =

\$600.00

- ☒ Additional fee for specification and drawings filed in paper over 100 sheets
(excluding sequence listing or computer program listing filed in an electronic
medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE
129-100=29	29/50 =	1	x \$250.00

\$250.00

Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the
earliest claimed priority date (37 CFR 1.492(h)).

\$

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	6 - 20 =	0	x \$50.00
Independent claims	1 - 3 =	0	x \$200.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00

\$0.00

\$0.00

\$0.00

TOTAL OF ABOVE CALCULATIONS =

\$850.00

- ☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are
reduced by 1/2.

\$

SUBTOTAL =

\$850.00

Processing fee of \$130.00 for furnishing the English translation later than 30 months from
the earliest claimed priority date (37 CFR 1.492(i)).

\$

TOTAL NATIONAL FEE =

\$850.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property

+

TOTAL FEES ENCLOSED =

\$850.00

Amount to be
refunded:

\$

Amount to be
charged:

\$850.00

- a. ☐ A check in the amount of \$ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 13-4500 (4742-4001US1) in the amount of \$850.00 to cover the above fees.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to
Deposit Account No. 13-4500 (4742-4001US1). A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be
included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and
granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

27123

Enter Address Here

MORGAN & FINNEGAN LLP
3 World Financial Center
New York, New York 10281-2101
212 415 8700 Telephone
212 415 8701 Fax

Signature

Evelyn M. Kwon
Name

54.246
REGISTRATION NUMBER